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U.S. APPLICATION NUMBER NO. 09/807,501	FIRST NAMED APPLICANT Robert P Kimberly	ATTY. DOCKET NO. UAB-14402/22
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INTERNATIONAL APPLICATION NO. PCT/US99/24148

I.A. FILING DATE 10/15/1999	PRIORITY DATE 10/16/1998
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Ellen S Cogen
280 N Old Woodward Avenue Suite 400
Birmingham, MI 48009-5394

CONFIRMATION NO. 9412

371 FORMALITIES LETTER



OC00000007401194

Date Mailed: 02/01/2002

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Indication of Small Entity Status
- Priority Document
- Biochemical Sequence Diskette
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination
- Small Entity Statement

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
 - See attached Raw Sequence Listing Error Report
 - APPLICANT MUST PROVIDE:
 - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
 - A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).
- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended up to a maximum of six months.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

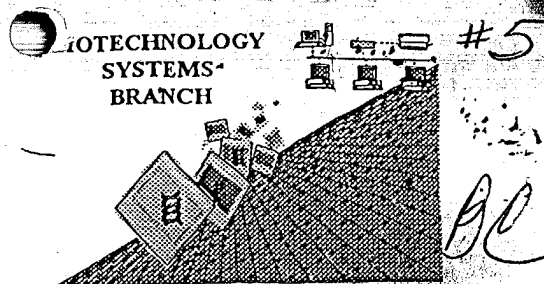
BARBARA A CAMPBELL

Telephone: (703) 305-3631

PART 2 - OFFICE COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/807,501	PCT/US99/24148	UAB-14402/22

RAW SEQUENCE LISTING ERROR REPORT



The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number:

09/807 501

Source:

PCT 09

Date Processed by STIC:

09 14 2001

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216

PATENTIN 2.1 e-mail help: patin21help@uspto.gov or phone 703-306-4119 (R. Wax)

PATENTIN 3.0 e-mail help: patin3help@uspto.gov or phone 703-306-4119 (R. Wax)

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 3.0 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW:

Checker Version 3.0

The Checker Version 3.0 application is a state-of-the-art Windows based software program employing a logical and intuitive user-interface to check whether a sequence listing is in compliance with format and content rules. Checker Version 3.0 works for sequence listings generated for the original version of 37 CFR §§1.821 - 1.825 effective October 1, 1990 (old rules) and the revised version (new rules) effective July 1, 1998 as well as World Intellectual Property Organization (WIPO) Standard ST.25.

Checker Version 3.0 replaces the previous DOS-based version of Checker, and is Y2K-compliant. Checker allows public users to check sequence listings in Computer Readable form (CRF) before submitting them to the United States Patent and Trademark Office (USPTO). Use of Checker prior to filing the sequence listing is expected to result in fewer errored sequence listings, thus saving time and money.

Checker Version 3.0 can be down loaded from the USPTO website at the following address:

<http://www.uspto.gov/web/offices/pac/checker>

Raw Sequence Listing Error Summary

ERROR DETECTED

SUGGESTED CORRECTION

SERIAL NUMBER: 09/807501

ATTN: NEW RULES CASES: PLEASE DISREGARD ENGLISH "ALPHA" HEADERS, WHICH WERE INSERTED BY PTO SOFTWARE

- 1 ☐ Wrapped Nucleics
Wrapped Aminos
The number/text at the end of each line "wrapped" down to the next line. This may occur if your file was retrieved in a word processor after creating it. Please adjust your right margin to .3; this will prevent "wrapping."
- 2 ☐ Invalid Line Length
The rules require that a line not exceed 72 characters in length. This includes white spaces.
- 3 ☐ Misaligned Amino
Numbering
The numbering under each 5th amino acid is misaligned. Do not use tab codes between numbers; use space characters, instead.
- 4 ☐ Non-ASCII
The submitted file was not saved in ASCII(DOS) text, as required by the Sequence Rules. Please ensure your subsequent submission is saved in ASCII text.
- 5 ☐ Variable Length
Sequence(s) contain n's or Xaa's representing more than one residue. Per Sequence Rules, each n or Xaa can only represent a single residue. Please present the maximum number of each residue having variable length and indicate in the <220>-<223> section that some may be missing.
- 6 ☐ PatentIn 2.0
"bug"
A "bug" in PatentIn version 2.0 has caused the <220>-<223> section to be missing from amino acid sequences(s). Normally, PatentIn would automatically generate this section from the previously coded nucleic acid sequence. Please manually copy the relevant <220>-<223> section to the subsequent amino acid sequence. This applies to the mandatory <220>-<223> sections for Artificial or Unknown sequences.
- 7 ☐ Skipped Sequences
(OLD RULES)
Sequence(s) missing. If intentional, please insert the following lines for each skipped sequence:
(2) INFORMATION FOR SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)
(i) SEQUENCE CHARACTERISTICS: (Do not insert any subheadings under this heading)
(xi) SEQUENCE DESCRIPTION:SEQ ID NO:X: (insert SEQ ID NO where "X" is shown)
This sequence is intentionally skipped

Please also adjust the "(ii) NUMBER OF SEQUENCES:" response to include the skipped sequences.
- 8 ☐ Skipped Sequences
(NEW RULES)
Sequence(s) missing. If intentional, please insert the following lines for each skipped sequence.
<210> sequence id number
<400> sequence id number
000
- 9 ☐ Use of n's or Xaa's
(NEW RULES)
Use of n's and/or Xaa's have been detected in the Sequence Listing.
Per 1.823 of Sequence Rules, use of <220>-<223> is MANDATORY if n's or Xaa's are present.
In <220> to <223> section, please explain location of n or Xaa, and which residue n or Xaa represents.
- 10 ☒ Invalid <213>
Response
Per 1.823 of Sequence Rules, the only valid <213> responses are: Unknown, Artificial Sequence, or scientific name (Genus/species). <220>-<223> section is required when <213> response is Unknown or is Artificial Sequence
- 11 ☒ Use of <220>
Sequence(s) missing the <220> "Feature" and associated numeric identifiers and responses.
Use of <220> to <223> is MANDATORY if <213> "Organism" response is "Artificial Sequence" or "Unknown." Please explain source of genetic material in <220> to <223> section.
(See "Federal Register," 06/01/1998, Vol. 63, No. 104, pp. 29631-32) (Sec. 1.823 of Sequence Rules)
- 12 ☐ PatentIn 2.0
"bug"
Please do not use "Copy to Disk" function of PatentIn version 2.0. This causes a corrupted file, resulting in missing mandatory numeric identifiers and responses (as indicated on raw sequence listing). Instead, please use "File Manager" or any other manual means to copy file to floppy disk.
- 13 ☐ Misuse of n
n can only be used to represent a single nucleotide in a nucleic acid sequence. N is not used to represent any value not specifically a nucleotide.

AMC/MH - Biotechnology Systems Branch - 08/21/2001

The type of errors shown exist throughout the Sequence Listing. Please check subsequent sequences for similar errors.

PCT09

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/807,501

DATE: 09/14/2001

TIME: 10:30:02

Input Set : A:\UAB14402.txt

Output Set: N:\CRF3\09142001\I807501.raw

Does Not Comply
Corrected Diskette Needed

3 <110> APPLICANT: Kimberly, Robert P.
 5 <120> TITLE OF INVENTION: POLYMORPHISM IN Fas PROMOTER AND Fas LIGAND PROMOTER
 7 <130> FILE REFERENCE: UAB-14402/22
 C--> 9 <140> CURRENT APPLICATION NUMBER: US/09/807,501
 C--> 9 <141> CURRENT FILING DATE: 2001-08-14
 9 <160> NUMBER OF SEQ ID NOS: 33
 11 <170> SOFTWARE: PatentIn version 3.1
 13 <210> SEQ ID NO: 1
 14 <211> LENGTH: 18
 15 <212> TYPE: DNA
 16 <213> ORGANISM: other nucleic acid
 18 <400> SEQUENCE: 1
 19 aaaacattgc gaaataca
 22 <210> SEQ ID NO: 2
 23 <211> LENGTH: 18
 24 <212> TYPE: DNA
 25 <213> ORGANISM: other nucleic acid
 27 <400> SEQUENCE: 2
 28 tgtatttcgc aatgtttt
 31 <210> SEQ ID NO: 3
 32 <211> LENGTH: 18
 33 <212> TYPE: DNA
 34 <213> ORGANISM: other nucleic acid
 36 <400> SEQUENCE: 3
 37 acctgtaaat tatggtga
 40 <210> SEQ ID NO: 4
 41 <211> LENGTH: 18
 42 <212> TYPE: DNA
 43 <213> ORGANISM: other nucleic acid
 45 <400> SEQUENCE: 4
 46 tcaccataat ttacaggt
 49 <210> SEQ ID NO: 5
 50 <211> LENGTH: 18
 51 <212> TYPE: DNA
 52 <213> ORGANISM: other nucleic acid
 54 <400> SEQUENCE: 5
 55 gtgggtgttt ctttgaga
 58 <210> SEQ ID NO: 6
 59 <211> LENGTH: 18
 60 <212> TYPE: DNA
 61 <213> ORGANISM: other nucleic acid
 63 <400> SEQUENCE: 6
 64 tctcaaagaa acacccac
 67 <210> SEQ ID NO: 7
 68 <211> LENGTH: 25
 69 <212> TYPE: DNA
 70 <213> ORGANISM: other nucleic acid

Errored

Errored

Invalid 213 response.
 Valid responses are only "Artificial
 Sequence", "Unknown" or The
 name of some specific species.
 FYI: If by "other nucleic acid" you
 mean to describe some "Unknown"
 or "Artificial Sequence", you need
 to provide "other nucleic acid" in
 field 223. MH

18

18

18

18

The type of errors shown exist throughout
 the Sequence Listing. Please check subsequent
 sequences for similar errors.

RAW SEQUENCE LISTING
PATENT APPLICATION: US/09/807,501

DATE: 09/14/2001
TIME: 10:30:02

Input Set : A:\UAB14402.txt
Output Set: N:\CRF3\09142001\I807501.raw

72 <400> SEQUENCE: 7	
73 ttatgcctat aatcccagct actca	25
76 <210> SEQ ID NO: 8	
77 <211> LENGTH: 22	
78 <212> TYPE: DNA	
79 <213> ORGANISM: other nucleic acid	
81 <400> SEQUENCE: 8	
82 ctggggatat gggtaattga ag	22
85 <210> SEQ ID NO: 9	
86 <211> LENGTH: 39	
87 <212> TYPE: DNA	
88 <213> ORGANISM: other nucleic acid	
90 <400> SEQUENCE: 9	
91 tgtaaaacga cggccagtcc agcctgggtg acagagtga	39
94 <210> SEQ ID NO: 10	
95 <211> LENGTH: 40	
96 <212> TYPE: DNA	
97 <213> ORGANISM: other nucleic acid	
99 <400> SEQUENCE: 10	
100 caggaaacag ctatgaccta tagccctgtt agtgtgaact	40
103 <210> SEQ ID NO: 11	
104 <211> LENGTH: 32	
105 <212> TYPE: DNA	
106 <213> ORGANISM: other nucleic acid	
108 <400> SEQUENCE: 11	
109 ggcggaggta ccctataatc ccagctactc ag	32
112 <210> SEQ ID NO: 12	
113 <211> LENGTH: 31	
114 <212> TYPE: DNA	
115 <213> ORGANISM: other nucleic acid	
117 <400> SEQUENCE: 12	
118 gttccgaagc ttggcagctg gtgagtcagg c	
121 <210> SEQ ID NO: 13	
122 <211> LENGTH: 29	
123 <212> TYPE: DNA	
124 <213> ORGANISM: other nucleic acid	
126 <400> SEQUENCE: 13	
127 aatgaaaac attgtgaaat acaaagcag	
130 <210> SEQ ID NO: 14	
131 <211> LENGTH: 29	
132 <212> TYPE: DNA	
133 <213> ORGANISM: other nucleic acid	
135 <400> SEQUENCE: 14	
136 ctgcttttcta tttcacaatg ttttcattt	
139 <210> SEQ ID NO: 15	
140 <211> LENGTH: 26	
141 <212> TYPE: DNA	
142 <213> ORGANISM: other nucleic acid	
144 <400> SEQUENCE: 15	

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/807,501

DATE: 09/14/2001

TIME: 10:30:02

Input Set : A:\UAB14402.txt

Output Set: N:\CRF3\09142001\I807501.raw

145 ttaacctgta agttatgggtg atcggc	26
148 <210> SEQ ID NO: 16	
149 <211> LENGTH: 26	
150 <212> TYPE: DNA	
151 <213> ORGANISM: other nucleic acid	
153 <400> SEQUENCE: 16	
154 gccgatcacc ataacttaca ggtaa	26
157 <210> SEQ ID NO: 17	
158 <211> LENGTH: 26	
159 <212> TYPE: DNA	
160 <213> ORGANISM: other nucleic acid	
162 <400> SEQUENCE: 17	
163 ataatgtata aaatagcatg caatta	26
166 <210> SEQ ID NO: 18	
167 <211> LENGTH: 26	
168 <212> TYPE: DNA	
169 <213> ORGANISM: other nucleic acid	
171 <400> SEQUENCE: 18	
172 taattgcatg ctattttata cattat	26
175 <210> SEQ ID NO: 19	
176 <211> LENGTH: 30	
177 <212> TYPE: DNA	
178 <213> ORGANISM: other nucleic acid	
180 <400> SEQUENCE: 19	
181 agtgagtggg tgtttggttg agaagcagaa	30
184 <210> SEQ ID NO: 20	
185 <211> LENGTH: 30	
186 <212> TYPE: DNA	
187 <213> ORGANISM: other nucleic acid	
189 <400> SEQUENCE: 20	
190 ttctgcttct caaacaaca cccactcact	30
193 <210> SEQ ID NO: 21	
194 <211> LENGTH: 18	
195 <212> TYPE: DNA	
196 <213> ORGANISM: other nucleic acid	
198 <400> SEQUENCE: 21	
199 gcgaaatcca aaccagct	18
202 <210> SEQ ID NO: 22	
203 <211> LENGTH: 18	
204 <212> TYPE: DNA	
205 <213> ORGANISM: other nucleic acid	
207 <400> SEQUENCE: 22	
208 agctgggttg gatttcgc	18
211 <210> SEQ ID NO: 23	
212 <211> LENGTH: 78	
213 <212> TYPE: DNA	
214 <213> ORGANISM: other nucleic acid	
216 <400> SEQUENCE: 23	
217 ggcggaggta ccgtgggtgt ttctttgaga gtgggtgttt ctttgagagt ggggtgtttct	60

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/807,501

DATE: 09/14/2001

TIME: 10:30:02

Input Set : A:\UAB14402.txt

Output Set: N:\CRF3\09142001\I807501.raw

219 ttgagaggta cctaata	78
222 <210> SEQ ID NO: 24	
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228 tcattaggta cctctcaaag aaacacccac tctcaaagaa acaccactc tcaaagaaac	60
230 acccaggta cctaata	78
233 <210> SEQ ID NO: 25	
234 <211> LENGTH: 78	
235 <212> TYPE: DNA	
236 <213> ORGANISM: other nucleic acid	
238 <400> SEQUENCE: 25	
239 ggcggaggta ccgtgggtgt ttgttgaga gtgggtgttt gtttgagagt ggggtgttgt	60
241 ttgagaggta cctaata	78
244 <210> SEQ ID NO: 26	
245 <211> LENGTH: 78	
246 <212> TYPE: DNA	
247 <213> ORGANISM: other nucleic acid	
249 <400> SEQUENCE: 26	
250 tcattaggta cctctcaaac aaacacccac tctcaaacia acaccactc tcaaaciaaac	60
252 acccaggta cctaata	78
255 <210> SEQ ID NO: 27	
256 <211> LENGTH: 20	
257 <212> TYPE: DNA	
258 <213> ORGANISM: other nucleic acid	
260 <400> SEQUENCE: 27	
261 tgcagattgc gcaatctgca	20
264 <210> SEQ ID NO: 28	
265 <211> LENGTH: 18	
266 <212> TYPE: DNA	
267 <213> ORGANISM: other nucleic acid	
269 <400> SEQUENCE: 28	
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273 <210> SEQ ID NO: 29	
274 <211> LENGTH: 18	
275 <212> TYPE: DNA	
276 <213> ORGANISM: other nucleic acid	
278 <400> SEQUENCE: 29	
279 aaaacattgc gaaatata	18
282 <210> SEQ ID NO: 30	
283 <211> LENGTH: 18	
284 <212> TYPE: DNA	
285 <213> ORGANISM: other nucleic acid	
287 <400> SEQUENCE: 30	
288 acctgtaaat tatgtga	18
291 <210> SEQ ID NO: 31	
292 <211> LENGTH: 22	
293 <212> TYPE: DNA	

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/807,501

DATE: 09/14/2001

TIME: 10:30:02

Input Set : A:\UAB14402.txt

Output Set: N:\CRF3\09142001\I807501.raw

294	<213>	ORGANISM: other nucleic acid	
296	<400>	SEQUENCE: 31	
297	tgtogaatgc aaatcactag aa		22
300	<210>	SEQ ID NO: 32	
301	<211>	LENGTH: 18	
302	<212>	TYPE: DNA	
303	<213>	ORGANISM: other nucleic acid	
305	<400>	SEQUENCE: 32	
306	gcgaaataca aagcagct		18
309	<210>	SEQ ID NO: 33	
310	<211>	LENGTH: 18	
311	<212>	TYPE: DNA	
312	<213>	ORGANISM: other nucleic acid	
314	<400>	SEQUENCE: 33	
315	gcgaaatcca aaccagct		18

VERIFICATION SUMMARY

PATENT APPLICATION: US/09/807,501

DATE: 09/14/2001

TIME: 10:30:03

Input Set : A:\UAB14402.txt

Output Set: N:\CRF3\09142001\I807501.raw

L:9 M:270 C: Current Application Number differs, Replaced Current Application No

L:9 M:271 C: Current Filing Date differs, Replaced Current Filing Date